

memorandum

DATE: DP-4.3 (Tromley, 6-5294)

REPLY TO
ATTN OF:

SUBJECT: Clarification of Memo, "Notification to Work for Others (WFO) Sponsors of Information to be Provided to Department of Energy (DOE) Personnel as Related to Classified, "Sensitive", Limited Access (including Special Access), or Other Similar WFO Projects, dated August 16, 1991

TO: Manager, DOE Albuquerque Field Office
Manager, DOE Idaho Field Office
Manager, DOE Nevada Field Office
Manager, DOE Oak Ridge Field Office
Manager, DOE Richland Field Office
Manager, DOE Rocky Flats Office
Manager, DOE San Francisco Field Office
Manager, DOE Savannah River Field Office

This memorandum is pursuant to recommendations I, VI, and VII made by the National Security Agency reviewers of DOE WFO management and oversight procedures, in their report (dated December 24, 1991) to the Secretary of Energy and recommendation 7 in the DOE Inspector General report IG-0303, dated November 12, 1991.

I have designated the Deputy Science and Technology Advisor for Defense Programs (DP) to make determinations as to who in DP Headquarters has the "need to know"/need to be made "knowledgeable", with regard to Special Access Programs/Projects (SAPs) being carried out in DP facilities and/or by DP contractors. Thomas Tromley (202-586-5294) is the Defense Programs point-of-contact for all SAP-related information, coordinating and scheduling DP HQ personnel "read-in"s, monitoring the projects, and interfacing with other Headquarters elements having oversight responsibilities in connection with SAPs being carried out in DP facilities and/or by DP contractors (e.g., Intelligence).

The Headquarters classified mailing address for the above and related documentation is:

U.S. Department of Energy
Thomas Tromley, DP-4.3
P.O. Box 23865
Washington D.C. 20026

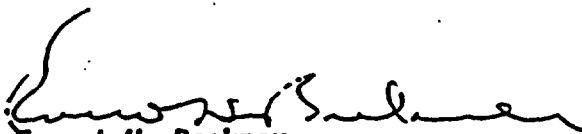
All SAPs will be officially and formally approved by DOE (e.g., DP-1, and as applicable, IN-1, OE-1, etc) prior to being carried out in DP facilities and/or by DP contractors. All SAPs, whether funded totally or in part by non-DOE entities, will be listed in the DP Active WFO Project Status Reports and the Summary WFO Project Status Reports for the Under Secretary. SAPs will not be identified as such in routine reporting.

For the purpose of this memo, the terms "knowledgeable" and "SAP" are defined in Attachment I. The procedure and standard form to be used for implementing the SAP identification and HQ notification/approval requirement is in Attachment II.

It is requested that you convey (1) these requirements to WFO sponsors and, (2) the appropriate guidance to the DP Management and Operating (and any other DP) contractors performing WFO.

Finally, I intend to establish a schedule for annual reviews of these projects to validate their continued "appropriateness". Whenever possible, these reviews will be conducted with the Office of Intelligence (IN) and the Office of Emergency Planning and Operations (OE).

Should your staffs have any questions, please have them call Thomas Tromley on 202-586-5294.



Everet H. Beckner
Acting Assistant Secretary
for Defense Programs

Attachments

DEFINITIONS

1. **"Knowledgeable"**, means to be "read-in" so that the DP Headquarters official who is the recipient of the information understands (knows) what the project objective(s) are. This will be, at a minimum, to the level that the most senior DP contractor official (e.g., laboratory director or president) has been briefed/"read-in". However, the information on the Project Summary Information sheet (see Attachment II, page 2) to be provided to Defense Programs (attention: T.Tromley) should not exceed the Secret NSI level.

NOTE: Field elements should provide the appropriate guidance to the contractors to assure that comparable levels of "read-in" are accomplished for Field management and other DOE personnel who will be involved with the project as a function of their DOE 4300.2B duties.

2. **"SAP"**, any (and only those) projects established under Executive Order 12356 whether funded wholly or in part by non-DOE entities and which are being (or will be) carried out in DP facilities and/or by DP contractors.

EXECUTIVE ORDER 12356- extract re DEFINITION OF AN SAP:Section 4.2 Special Access Programs.

"(a) Agency heads designated pursuant to Section 1.2(a) may create special access programs to control access, distribution, and protection of particularly sensitive information classified pursuant to this Order or predecessor orders. Such programs may be created or continued only at the written direction of these agency heads.

For special access programs pertaining to intelligence activities (including special activities but not including military operational strategic and tactical programs), or intelligence sources or methods, this function will be exercised by the Director of Central Intelligence."

NOTE: Within DOE, the Office of Intelligence provides oversight for
IN-related SAPs.

In DOE, this description has been further discussed in Office of Safeguards and Security memo of October 24, 1990 to all DOE Directors of Safeguards and Security Divisions, subject: "Security Procedures for Special Access Required Materials", as follows:

Special Access Program (SAP):

Any program established under E.O. 12356 that imposes additional controls governing access to classified information involved with such programs beyond those required by normal management and safeguarding practices. These programs may include, but are not limited to, access approval, adjudication or investigative requirements, special designation of officials authorized to determine a need-to-know, or special lists of persons determined to have a need-to-know. Within DOE, a SAP is one category of Special Access Required programs. (underlining added)

PROCEDURE

ATTACHMENT II

Page 1 of 3

In the case of proposed new SAPs, the senior contractor official (e.g., laboratory director/president) will review the potential SAP and if the project is considered appropriate for undertaking, will reflect that decision on a Project Summary Information (PSI) Sheet. A copy of the PSI sheet will be completed, in coordination with the prospective sponsor, and then be forwarded to the appropriate Field Office management official and to Defense Programs (attention T. Tromley).

I will utilize information provided in the PSI sheet, the "read-in", and your inputs to assist me in deciding whether the project is appropriate to be undertaken. If the project is deemed appropriate by DP, the contractor's project proposal package will be forwarded to the appropriate Field element for review, approval and endorsement to the sponsor in accordance with DOE 4300.2B.

If the proposed project is accepted by the Field Office, then a copy of the acceptance document will be forwarded to Defense Programs (attention T. Tromley).

If a potential project is perceived to be Intelligence-related, the sponsor will be directed to coordinate with IN-40 (M. Mazaleski).

If a potential project is validated by IN-1 as an IN-related WFO activity, IN-40 will notify Defense Programs (T. Tromley) and the appropriate Field Office management official that the DOE 4300.2B review and approval process for IN-related WFO projects has been initiated for the project.

DP and IN will coordinate, as necessary, to facilitate the Field Office's completion of the DOE 4300.2B determination and certification process. IN will ensure that the sponsors are aware of their responsibility to brief appropriate personnel at DOE Headquarters, DOE Field Offices, and contractor-operated DOE facilities.

The Field Office administrative instructions which accompany a DOE-endorsed proposal (which includes a statement of work) for a classified WFO project will include the following requirement:

If the project proposal is satisfactory to the sponsor and funding is provided to the appropriate Field office, the sponsor will provide a Summary Project Classification Data statement (see attached example) which will indicate the level of DOE contractor clearance(s) which will be required if the project is undertaken by DOE. The Summary Project Classification Data statement does not replace or otherwise substitute for the appropriate detailed classification guidance which must also be provided to DOE.

A copy of the Summary Project Classification Data statement will be kept in the DOE Field Office project file and a copy provided to the Office of the Deputy Science and Technology Advisor for Defense Programs (attention T. Tromley).

(stamp classification here)

Project Summary Information sheet
for
Special Access Program/Project

Program/Project Name:

CONTRACTOR/LAB:

SPONSORING AGENCY/OFFICE: *

SPONSOR POINT-OF-CONTACT: *

AND PHONE NUMBER:

SPONSOR NAME AND/OR NICKNAME FOR PROJECT: *

A. Name -
B. Nickname -

GENERAL CLASSIFICATION LEVEL: e.g., SNSI, TSNSI-CW, SCI

A. Technology -
B. System capabilities -
C. Customer -
D. Mission -

TECHNICAL DESCRIPTION OF PROJECT:

DESCRIPTION OF CONTRACTOR'S UNIQUE CAPABILITY:

PERIOD OF PERFORMANCE:

FUNDING ESTIMATE:
(by FY and total)

DELIVERABLES:

(describe)
A. Analyses -
B. Hardware -
C. Software -
D. Other -

NAMES OF PERSONNEL CLEARED ("read-in"):

A. DOE HQ (name & Org. code)
B. DOE Field Office
C. Contractor (name & Co./lab)

NOTES:

* Contact T. Tromley if there is any sensitivity associated with providing this information.

ASDP: _____
Approval

Disapproval _____

Date: _____

(stamp classification here)

(stamp classification here)

Summary Project Classification Data sheet

NOTE: This form does not replace appropriate detailed classification guidance.

Place of performance: _____
(e.g., Pantex, Sandia Lab)Funding
Document No. _____Classifier: _____
(print name)

Date: _____

Item (as applicable)	Maximum Classification	Source Documentation
I. Association*	_____	_____
II. Government Furnished Data & Hardware		
A. Statement of Work	_____	_____
B. Technical Information (includes oral discussions)	_____	_____
C. Specifications	_____	_____
D. Drawings & Graphics	_____	_____
E. Computer Software	_____	_____
F. Communications Security (COMSEC) Material	_____	_____
G. Government Furnished Equipment (includes hardware from prior DOE work)	_____	_____
H. Other - Identify on attached sheet		
III. Contractor Produced Data & Hardware		
A. Reports (as identified in the Statement of Work, II.A. above or in the customer-approved, DOE-endorsed Statement of Work)		
1. Monthly or Preliminary Technical	_____	_____
2. Quarterly or Interim	_____	_____
3. Final	_____	_____
4. Project Status	_____	_____
B. Manuals	_____	_____
C. Drawings & Graphics	_____	_____
D. Computer Software	_____	_____
E. Test data, Computer Printouts, etc.	_____	_____
F. Hardware		
1. Component	_____	_____
2. Sub-system	_____	_____
3. Breadboard	_____	_____
4. Prototype or Engineering Model	_____	_____
5. System or Finished Product	_____	_____
G. Other - Identify on attached sheet		
IV. Statement of the Critical Security Elements:		

* If association of sponsor and laboratory (or other DOE M&O contractor) with project is classified, this form must be stamped top and bottom with the appropriate classification and appropriate justification must be cited.

(stamp classification here)

DP PROCEDURE FOR SAP'S

MAY 14, 1993

